

Translation

PATENT COOPERATION TREATY

PCT

INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY
(Chapter II of the Patent Cooperation Treaty)

(PCT Article 36 and Rule 70)

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| Applicant's or agent's file reference 694-PCT | | FOR FURTHER ACTION | See Form PCT/IPEA/416 |
| International application No. PCT/JP2004/004668 | International filing date (day/month/year) 31.03.2004 | Priority date (day/month/year) 31.03.2003 | |
| International Patent Classification (IPC) or national classification and IPC | | | |
| Applicant CLARION CO., LTD. | | | |

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|--|--------------|---|-----------|---------------------|--------------------------|------------|----------|--------------------------|-------------|--|--------------------------|------------|----------------------------|-------------------------------------|-----------|---|--------------------------|------------|-------------------------|--------------------------|-------------|--|--------------------------|--------------|---|
| <p>1. This report is the international preliminary examination report, established by this International Preliminary Examining Authority under Article 35 and transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of <u>4</u> sheets, including this cover sheet.</p> <p>3. This report is also accompanied by ANNEXES, comprising:</p> <p>a. <input checked="" type="checkbox"/> (sent to the applicant and to the International Bureau) a total of <u>7</u> sheets, as follows:</p> <p><input checked="" type="checkbox"/> sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications authorized by this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions).</p> <p><input type="checkbox"/> sheets which supersede earlier sheets, but which this Authority considers contain an amendment that goes beyond the disclosure in the international application as filed, as indicated in item 4 of Box No. I and the Supplemental Box.</p> <p>b. <input type="checkbox"/> (sent to the International Bureau only) a total of (indicate type and number of electronic carrier(s)) _____, containing a sequence listing and/or tables related thereto, in computer readable form only, as indicated in the Supplemental Box Relating to Sequence Listing (see Section 802 of the Administrative Instructions).</p> | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>4. This report contains indications relating to the following items:</p> <table> <tr> <td><input checked="" type="checkbox"/></td> <td>Box No. I</td> <td>Basis of the report</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. II</td> <td>Priority</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. III</td> <td>Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. IV</td> <td>Lack of unity of invention</td> </tr> <tr> <td><input checked="" type="checkbox"/></td> <td>Box No. V</td> <td>Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. VI</td> <td>Certain documents cited</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. VII</td> <td>Certain defects in the international application</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Box No. VIII</td> <td>Certain observations on the international application</td> </tr> </table> | | <input checked="" type="checkbox"/> | Box No. I | Basis of the report | <input type="checkbox"/> | Box No. II | Priority | <input type="checkbox"/> | Box No. III | Non-establishment of opinion with regard to novelty, inventive step and industrial applicability | <input type="checkbox"/> | Box No. IV | Lack of unity of invention | <input checked="" type="checkbox"/> | Box No. V | Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement | <input type="checkbox"/> | Box No. VI | Certain documents cited | <input type="checkbox"/> | Box No. VII | Certain defects in the international application | <input type="checkbox"/> | Box No. VIII | Certain observations on the international application |
| <input checked="" type="checkbox"/> | Box No. I | Basis of the report | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> | Box No. II | Priority | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> | Box No. III | Non-establishment of opinion with regard to novelty, inventive step and industrial applicability | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> | Box No. IV | Lack of unity of invention | | | | | | | | | | | | | | | | | | | | | | | |
| <input checked="" type="checkbox"/> | Box No. V | Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> | Box No. VI | Certain documents cited | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> | Box No. VII | Certain defects in the international application | | | | | | | | | | | | | | | | | | | | | | | |
| <input type="checkbox"/> | Box No. VIII | Certain observations on the international application | | | | | | | | | | | | | | | | | | | | | | | |

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| Date of submission of the demand | Date of completion of this report |
| Name and mailing address of the IPEA/JP | Authorized officer |
| Facsimile No. | Telephone No. |

INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No.

PCT/JP2004/004668

Box No. I Basis of the report

1. With regard to the language, this report is based on the international application in the language in which it was filed, unless otherwise indicated under this item.
- ☐ This report is based on translations from the original language into the following language _____, which is the language of a translation furnished for the purposes of:
- ☐ international search (Rule 12.3 and 23.1(b))
- ☐ publication of the international application (Rule 12.4)
- ☐ international preliminary examination (Rule 55.2 and/or 55.3)
2. With regard to the elements of the international application, this report is based on *(replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report)*:
- ☐ the international application as originally filed/furnished
- ☒ the description:
- pages 1-4, 7, 9-65 as originally filed/furnished
- pages* 5-6, 8 received by this Authority on 01.11.2004
- pages* _____ received by this Authority on _____
- ☒ the claims:
- nos. 2, 12 as originally filed/furnished
- nos.* _____ as amended (together with any statement) under Article 19
- nos.* 1, 4-7, 9-11 received by this Authority on 01.11.2004
- nos.* _____ received by this Authority on _____
- ☒ the drawings:
- sheets 1-97 as originally filed/furnished
- sheets* _____ received by this Authority on _____
- sheets* _____ received by this Authority on _____
- ☐ a sequence listing and/or any related table(s) – see Supplemental Box Relating to Sequence Listing.
3. ☒ The amendments have resulted in the cancellation of:
- ☐ the description, pages _____
- ☒ the claims, nos. 3, 8
- ☐ the drawings, sheets/figs _____
- ☐ the sequence listing (*specify*): _____
- ☐ any table(s) related to sequence listing (*specify*): _____
4. ☐ This report has been established as if (some of) the amendments annexed to this report and listed below had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).
- ☐ the description, pages _____
- ☐ the claims, nos. _____
- ☐ the drawings, sheets/figs _____
- ☐ the sequence listing (*specify*): _____
- ☐ any table(s) related to sequence listing (*specify*): _____

* If item 4 applies, some or all of those sheets may be marked "superseded."

INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No.

PCT/JP2004/004668

| Box No. V | Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement | | | | | |
|--|---|----------------|-----|--|--|--|
| 1. Statement | | | | | | |
| Novelty (N) | Claims | 1-2, 4-7, 9-12 | YES | | | |
| | Claims | | NO | | | |
| Inventive step (IS) | Claims | 11-12 | YES | | | |
| | Claims | 1-2, 4-7, 9-10 | NO | | | |
| Industrial applicability (IA) | Claims | 1-2, 4-7, 9-12 | YES | | | |
| | Claims | | NO | | | |
| 2. Citations and explanations (Rule 70.7) | | | | | | |
| Document 1: JP 2001-101754 A (Sony Corp.), 13 April 2001, paragraphs [0010] to [0038] | | | | | | |
| Document 2: JP 2000-48459 A (Matsushita Electric Ind. Co., Ltd.), 18 February 2000, paragraphs [0021] to [0024] and [0035] to [0036] | | | | | | |
| Document 3: JP 2002-237124 A (Alpine Electronics, Inc.), 23 August 2002, paragraph [0014] | | | | | | |
| Claims 1 to 2 and 4 to 5 | | | | | | |
| The inventions that are set forth in claims 1 to 2 and 4 to 5 do not involve an inventive step in the light of document 1 and document 2 (paragraphs [0035] to [0036]) cited in the international search report. It would be easy for a person skilled in the art to conceive of employing the disk holding means that is disclosed in document 2 in the device that is disclosed in document 1. | | | | | | |
| Claim 6 | | | | | | |
| The invention that is set forth in claim 6 does not involve an inventive step in the light of document 1 and document 3 (paragraph [0014]) cited in the international search report. It would be easy for a person skilled in the art to conceive of applying the positional | | | | | | |

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| | |
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| Box No. V | Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement |
|-----------|--|

configuration that is disclosed in document 3, wherein the disk selector is disposed on one orthogonal side part while the drive unit and the disk insertion/retraction means are disposed on the other orthogonal side part, in the device that is disclosed in document 1.

Claims 7 and 9 to 10

The inventions that are set forth in claims 7 and 9 to 10 do not involve an inventive step in the light of document 1 and document 2 (paragraphs [0021] to [0024]) cited in the international search report. It would be easy for a person skilled in the art to conceive of employing the floating lock mechanism that is disclosed in document 2 in the device that is disclosed in document 1.

Claims 11 to 12

Document 1 defines the general state of the art in the technical field in question, and discloses an auto changer for selecting a disk in accordance with the sliding motion of the disk selector; however, the clamping arm that is displaced in accordance with the movement of the slide lock plate is not disclosed or suggested in any of the documents that are cited in the international search report.